



---

The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [National Institute of Justice](#) (NIJ) is seeking applications for the Comprehensive School Safety Initiative (CSSI). This program furthers the Department's mission by funding rigorous research to produce practical knowledge that can improve the safety of schools and students. The Initiative is carried out through partnerships between researchers, educators, and other stakeholders, including law enforcement and mental health professionals. Projects funded under the CSSI are designed to produce knowledge that can be applied to schools and school districts across the nation for years to come. This solicitation includes four funding categories with different expectations and requirements to accomplish the purposes of the CSSI.

## **FY 2016 Comprehensive School Safety Initiative**

**Applications Due: May 27, 2016**

### **Eligibility**

In general, NIJ is authorized to make grants to, or enter into contracts or cooperative agreements with, States (including territories), units of local government, federally recognized Indian tribal governments that perform law enforcement functions (as determined by the Secretary of the Interior), nonprofit and for-profit organizations (including tribal nonprofit and for-profit organizations), institutions of higher education (including tribal institutions of higher education), and certain qualified individuals. Local education agencies (LEAs), public charter schools that are recognized as an LEA, and State education agencies (SEAs) are eligible to apply.

For-profit organizations must agree to forgo any profit or management fee. Foreign governments, foreign organizations, and foreign institutions of higher education are not eligible to apply.

NIJ welcomes applications that involve two or more entities that will carry out the funded federal award activities, however, one eligible entity must be the applicant and the other(s) must be proposed as subrecipient(s). The applicant must be the entity with primary responsibility (the "prime") for conducting and leading the project. If successful, the applicant will be responsible for monitoring and appropriately managing any subrecipients or, as applicable, for administering any procurement subcontracts that would receive federal program funds from the applicant under the award. While NIJ is open to considering applications submitted by entities other than the research entity, in cases where LEAs and SEAs partner with a researcher, NIJ strongly recommends that the research entity serve as the applicant.

An eligible applicant may submit more than one application, as long as each application proposes a different project in response to the solicitation. (Applicants should also review and consider the "Duplicate Applications" note under [How to Apply](#) in Section D. Application and Submission Information.) Subrecipients may be part of multiple proposals.

NIJ may elect to make awards for applications submitted under this solicitation in future fiscal years, dependent on, among other considerations, the merit of the applications and on the availability of appropriations.

## Deadline

Applicants must register with [Grants.gov](https://grants.gov) prior to submitting an application. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on May 27, 2016.

All applicants are encouraged to read this: [Important Notice: Applying for Grants in Grants.gov](#).

For additional information, see [How to Apply](#) in [Section D. Application and Submission Information](#).

## Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, or via email to [support@grants.gov](mailto:support@grants.gov). The [Grants.gov](https://grants.gov) Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must email the NIJ contact identified below **within 24 hours after the application deadline** and request approval to submit their application. Additional information on reporting technical issues is found under "Experiencing Unforeseen Grants.gov Technical Issues" in the [How to Apply](#) section.

For assistance with any other requirements of this solicitation, contact the National Criminal Justice Reference Service (NCJRS) Response Center: toll-free at 1-800-851-3420; via TTY at 301-240-6310 (hearing impaired only); email [grants@ncjrs.gov](mailto:grants@ncjrs.gov); fax to 301-240-5830; or web chat at <https://webcontact.ncjrs.gov/ncjchat/chat.jsp>. The NCJRS Response Center hours of operation are 10:00 a.m. to 6:00 p.m. eastern time, Monday through Friday, and 10:00 a.m. to 8:00 p.m. eastern time on the solicitation close date. General information on applying for NIJ awards can be found at [www.nij.gov/funding/Pages/welcome.aspx](http://www.nij.gov/funding/Pages/welcome.aspx). Answers to frequently asked questions that may assist applicants are posted at [www.nij.gov/funding/Pages/faqs.aspx](http://www.nij.gov/funding/Pages/faqs.aspx).

Grants.gov number assigned to this announcement: NIJ-2016-9093

Release date: March 17, 2016

## Contents

A. Program Description .....	4
Overview .....	4
Program-Specific Information .....	4
Goals, Objectives, Deliverables, and Expected Scholarly Products .....	13
B. Federal Award Information.....	14
Type of Award .....	15
Financial Management and System of Internal Controls.....	16
Budget Information .....	17
Cost Sharing or Matching Requirement .....	18
Pre-Agreement Cost (also known as Pre-award Cost) Approvals .....	18
Limitation on Use of Award Funds for Employee Compensation; Waiver.....	18
Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs .....	19
Costs Associated with Language Assistance (if applicable) .....	19
C. Eligibility Information.....	19
Limit on Number of Application Submissions .....	19
D. Application and Submission Information .....	19
What an Application Should Include .....	19
How to Apply .....	30
E. Application Review Information.....	33
Selection Criteria .....	33
Review Process.....	35
F. Federal Award Administration Information .....	36
Federal Award Notices .....	36
Administrative, National Policy, and other Legal Requirements .....	36
General Information About Post-Federal Award Reporting Requirements .....	37
G. Federal Awarding Agency Contact(s) .....	39
H. Other Information.....	39
Provide Feedback to OJP .....	39
Application Checklist .....	40

# FY 2016 Comprehensive School Safety Initiative

## (CFDA No. 16.560)

### A. Program Description

#### Overview

The Comprehensive School Safety Initiative (CSSI) funds rigorous research to produce practical knowledge that can improve the safety of schools and students. The Initiative is carried out through partnerships between researchers, educators, and other stakeholders; including law enforcement, behavioral and mental health professionals, courts, and other justice system professionals. Projects funded under the CSSI are designed to produce knowledge that can be applied to schools and school districts across the nation for years to come. This solicitation includes four funding categories with different expectations and requirements to accomplish the purposes of the CSSI.

**Authorizing Legislation:** Department of Justice Appropriations Act, 2016 (Public Law 114-113).

#### Program-Specific Information

With disturbing frequency in recent years, the nation has been shocked by news of violence in schools. Beyond the headlines that follow the most horrific of these events, school and public safety officials grapple with the daily challenges of creating and maintaining a safe and healthy learning environment for students. For the most part, schools are safe places for students; but when violence does occur in schools, it affects a particularly vulnerable population of children and adolescents and strikes a blow against a fundamental public institution within our communities. Threats to school and student safety may come from outside the school or inside the school, and from adults or minors. Safeguarding against these threats may require a range of activities including developing partnerships with law enforcement, providing access to quality behavioral and mental health services, creating a positive school climate, implementing effective disciplinary policies, assessing internal and external threats, controlling access and improving physical security, working with families, and developing school emergency operations plans.

The CSSI is an investment in building sound and objective knowledge to improve the safety of schools, students, and communities across the nation. The CSSI is focused on K-12 public schools (including public charter schools). The Initiative is concerned with all forms of interpersonal violence that occur on school property during or outside of school hours; on the way to-and-from school or school-sponsored events; on school-sponsored modes of transport; or during school-sponsored events. Interpersonal violence includes both minors and adults who perpetrate violence, are victims of violence, or are witnesses to violence.

CSSI funding may support and address a wide range of school safety activities. Within the program parameters and in furtherance of the goals and objectives detailed in this solicitation, applicants have considerable discretion in determining the kinds of school safety initiatives they propose to address. For example, NIJ made 24 awards in 2014 and 25 awards in 2015 related to topics including the following:

- School resource officer training.
- School-based mental health.
- Trauma-informed approaches.
- Improved disciplinary policies.
- Restorative justice and conflict management.
- Threat assessment.
- Positive behavioral interventions and supports.
- Bullying prevention.
- Truancy reduction.
- Wraparound services/comprehensive approaches.
- Protecting students as they walk to-and-from school.

Applicants are strongly advised to review the previously funded projects.<sup>1</sup> While studies looking at similar topics will be considered, NIJ may give priority in award decisions to well-designed research that expands the range of issues and strategies beyond this current pool of funded projects.

There are multiple authoritative sources that provide recommendations and guidance for those seeking to improve school safety. For example, six relevant professional associations released *A Framework for Safe and Successful Schools*;<sup>2</sup> the Department of Education recently released *Guiding Principles: A Resource Guide for Improving School Climate and Discipline*;<sup>3</sup> and in 2013, a collection of federal agencies comprised of the Departments of Education, Justice, Health and Human Services, and Homeland Security released a *Guide for Developing High-Quality School Emergency Operations Plans*.<sup>4</sup> NIJ, through its National Law Enforcement Corrections Technology Center system, has produced a three-volume set titled *Sharing Ideas &*

---

<sup>1</sup> Interested applicants are encouraged to review descriptions of the 24 awards made by NIJ under CSSI in 2014 available at <http://nij.gov/topics/crime/school-crime/documents/comprehensive-school-safety-initiative-awards-fy-2014.pdf#page=8> and descriptions of the 25 awards made by NIJ under CSSI in 2015 available at <https://www.ncjrs.gov/pdffiles1/nij/249228.pdf>.

<sup>2</sup> *A Framework for Safe and Successful Schools* was produced by National Association of Elementary School Principals, National Association of Secondary School Principals, American School Counselor Association, National Association of School Psychologists, School Social Work Association of America, and the National Association of School Resource Officers and is available at [https://www.naesp.org/sites/default/files/Framework%20for%20Safe%20and%20Successful%20School%20Environments\\_FINAL\\_0.pdf](https://www.naesp.org/sites/default/files/Framework%20for%20Safe%20and%20Successful%20School%20Environments_FINAL_0.pdf).

<sup>3</sup> *Guiding Principles: A Resource Guide for Improving School Climate and Discipline* is available at <http://www2.ed.gov/policy/gen/guid/school-discipline/guiding-principles.pdf>.

<sup>4</sup> *Guide for Developing High-Quality School Emergency Operations Plans* is available at <http://www.phe.gov/Preparedness/planning/Documents/eops-k-8.pdf>.

*Resources to Keep Our Nation's Schools Safe*,<sup>5</sup> which features innovative ideas and practices from the field. Applicants are encouraged to consider these resources and others when developing their projects. Applicants should also seek out and consider any available research and evaluation findings relevant to proposed projects.

Every award made under CSSI must include a carefully developed research strategy with clear potential for producing findings that have practical benefits for schools, students and communities at large. Research strategies should include clearly stated research questions; the most rigorous appropriate research design to answer those questions; a minimally intrusive data collection strategy; provisions for protecting students from unintended harm during the research process; and a plan for sharing findings with practitioners and policymakers who can most benefit from them. NIJ is open to supporting a wide range of appropriate and rigorous research designs to address and better understand the full range of school and student safety issues and activities.

With few exceptions, most studies on school safety require educators and other stakeholders within the schools and in the community to work closely with researchers to ask the right questions, prioritize challenges, identify solutions, collect data, and make sense of the findings. No single profession or discipline holds all of the answers to the complex challenges of creating and maintaining safe learning environments for children; therefore applicants should consider multidisciplinary approaches. NIJ expects applications for CSSI to prominently feature close collaboration and partnerships involving schools, researchers, and others as necessary (e.g., law enforcement behavioral and mental health professionals, courts, criminal and juvenile justice professionals, parents, students) to implement and study the proposed issues and activities related to school and student safety.

As noted on the title page, NIJ strongly recommends that research organizations be designated as the applicant (the “prime”) for CSSI awards, making subawards to participating stakeholders as appropriate for the proposed project. This arrangement is preferred in order to produce the highest quality research while reducing administrative burdens to SEAs, LEAs, and other stakeholders. Research organizations may be institutions of higher education, nonprofit or for-profit organizations, or public entities that have experience in conducting applied research and evaluation.

Applicants may propose to work with any combination of elementary, middle, or high schools or may elect to focus solely on a single type of school or range of grades. Applicants should consider carefully the schools and grades on which they will focus based on the research questions they propose to address. Care should be taken to assure that proposed programmatic and research activities are developmentally appropriate for the impacted student population. Applicants are also encouraged to consider appropriate ways to involve students and parents in safety planning and activities.

Applicants should consider interventions that include coordination with diverse partners including local law enforcement, behavioral and mental health professionals, courts, criminal and juvenile justice professionals, as well as parents and youth. Proposed interventions should also take into account recent research findings related to disciplinary policies and practices that

---

<sup>5</sup> *Sharing Ideas & Resources to Keep Our Nation's Schools Safe* Volume I is available at [https://www.justnet.org/pdf/SharingResources\\_508.pdf](https://www.justnet.org/pdf/SharingResources_508.pdf); Volume II is available at [https://justnet.org/pdf/00-Sharing%20Ideas\\_Vol2-JUSTNET%20508%200715.pdf](https://justnet.org/pdf/00-Sharing%20Ideas_Vol2-JUSTNET%20508%200715.pdf); and Volume III is available at [https://justnet.org/pdf/Sharing-Ideas-and-ResourcesVol3\\_web%2006112015.pdf](https://justnet.org/pdf/Sharing-Ideas-and-ResourcesVol3_web%2006112015.pdf).

may be overly harsh or exclusionary. Such policies and practices have created what some refer to as a “school-to-prison pipeline” in which relatively minor student misconduct is subject to suspensions, expulsions, and involvement with the justice system.

For FY 2016, CSSI funding is available in the following four categories:

---

**Category 1: Developing Knowledge About What Works to Make Schools Safe**

---

Competition ID: NIJ-2016-9304

The purpose of Category 1 funding is to support demonstrations and evaluations of programs, practices, policies, and strategies designed to enhance school and student safety. Applicants in this category are encouraged strongly to focus their efforts on a limited range of specific interventions so that they can develop the most robust research designs possible and produce scientific evidence regarding the efficacy, effectiveness, and cost/benefit of these interventions. Often these interventions will be locally based, but State-level, regional, or multi-district interventions may also be appropriate.

The purpose of efficacy research<sup>6</sup> is to determine whether an intervention or strategy can improve outcomes under what are sometimes called “ideal” conditions. For example, these conditions may include more implementation support or more highly trained personnel than would be expected under routine practice, or may be implemented in contexts that include a more homogeneous sample of students, teachers, schools, and/or districts than is typical.

Although efficacy studies may involve the developer of the intervention or strategy in the implementation of the intervention or strategy, such studies should include reasonable safeguards for ensuring the objectivity and integrity of the study. Sometimes efficacy studies are used to replicate previous evaluations of an intervention, but under different conditions (e.g., with a different population or using a variant of the intervention or strategy).

Effectiveness research has a slightly different purpose. The purpose of effectiveness research is to estimate the impact(s) of an intervention or strategy when implemented under conditions of routine practice. To this end, implementation should be similar to what would occur if a study were not being conducted. Importantly, an effectiveness study should be carried out with no more developer involvement than what would be expected under typical implementation.

Applications must feature close coordination involving SEAs or LEAs (including public charter schools that are recognized as LEAs) and a researcher or research organization that has considerable experience conducting research and evaluation, preferably, in school settings. NIJ recommends that the research organization serve as the applicant and make one or more subawards to participating SEAs or LEAs.

Coordination should be based on a formal agreement that demonstrates value placed upon open communication and the sharing of information and ideas. NIJ strongly encourages applicants to include appropriate letters of support in their applications. Prior to NIJ releasing funds, grantees must produce a formalized (i.e., written and fully-executed by authorized representatives of all parties) memorandum of understanding (MOU) or agreement that outlines the roles and responsibilities of all entities. The goal of the partnership should be to implement

---

<sup>6</sup> For more information and guidance on developing efficacy and effectiveness studies, see *Common Guidelines of Education Research and Development* available at <http://ies.ed.gov/pdf/CommonGuidelines.pdf>.



school safety activities that are paired with objective, high-quality research and evaluation activities with emphasis on fidelity to program and research designs.

NIJ is particularly interested in applications that address the following:

- Coordination with the justice system (e.g., law enforcement, probation, juvenile or criminal courts).
- Coordination with behavioral and mental health professionals.
- Schools in communities with high levels of firearms violence.
- Schools in communities with high levels of gang activity.
- The use of technology to enhance school safety.

Applicants for Category 1 should:

- Dedicate up to 1/3 (one-third) of funding directly to research partners to develop and carry out a rigorous program of evaluation. No less than 2/3 (two-thirds) of funding should go towards the personnel, programs, equipment, materials, training and other activities intended to advance school and student safety that will be subject to evaluation. A budget should be prepared for the full project period that clearly reflects the 1/3 and 2/3 split. See below in [What an Application Should Include](#) for more details on expectations and requirements.
- Incorporate findings from any local school climate and safety assessments and, as appropriate, plan to update or align activities with existing frameworks for promoting safe school climates and existing school emergency operations plans.
- Consider the availability and quality of local administrative data as it relates to school climate and school safety. Applicants may propose and evaluate improvements to relevant administrative data collection practices as part of their project design.
- Submit along with their applications an administrative agreement or, at a minimum, a letter of support from all project partners. At a minimum, this will include LEAs or SEAs and research partners, but it may also include behavioral and mental health service providers, law enforcement, courts, municipal government partners, and others as appropriate. If an award is made, funds will be withheld until a fully executed, written agreement between the relevant LEAs or SEAs and research partner is in place. This agreement must provide detail on the roles and responsibilities of each party, and on what will be done to ensure that the independence and objectivity of the research is maintained.

---

## **Category 2: Causes and Consequences of School Violence**

Competition ID: NIJ-2016-9305

The purpose of Category 2 funding is to support research to better understand the potential root causes and related factors that contribute to school violence, as well as the impact and



consequences of school violence. The foundational research funded under Category 2 should have the potential to produce advances in theory, methodology, and/or understanding of important constructs with clear potential implications for policy or practice related to school and student safety. Projects funded under Category 2 will answer questions about why school violence occurs, where and when it occurs, who is involved, and how schools and people are affected. Applicants are encouraged to consider a variety of research questions and research methods to improve the understanding of violence in schools, among students, and directed at students. In this category, NIJ is particularly interested in applications for studies that expand knowledge about the causes, responses, and consequences of shootings and mass shootings that occur in K-12 public school settings.

---

### **Category 3: Shorter Term Studies on School Safety**

Competition ID: NIJ-2016-9306

The purpose of Category 3 funding is to produce research findings with implications for school safety practice and policy with project periods that are no longer than 24 months. Applicants are encouraged to propose early-stage or exploratory research to identify evidence of the promise (or lack thereof) of school safety practices and activities. Studies should be designed to inform the development or modification of a school safety intervention or strategy. Research may help to identify factors that are likely to mediate or modify relationships between school safety activities and intended outcomes in particular settings or with particular populations. Short-term research may also set the stage for more extensive or rigorous projects to follow; it may provide evidence for whether an established intervention or strategy is ready to be subjected to an efficacy or effectiveness evaluation.

Applicants may propose research on innovative approaches to school safety, but NIJ is particularly interested in research that investigates common, but understudied practices and strategies related to school safety. Applicants are encouraged to consider topics and research designs that are amenable to shorter timeframes. Studies that can be implemented within this timeframe might include high-quality case studies or mixed methods comparative research. They may incorporate key member interviews, focus groups, secondary data analysis, surveys, document analysis and other methods focused on the challenges, opportunities, and lessons learned from efforts to increase school and student safety under different circumstances.

NIJ is particularly interested in receiving applications in the following two areas: school emergency operations planning (EOP) and school coordination with the justice system. NIJ is seeking applications for short-term studies in these two areas to help build a body of knowledge about variations in current practices and shed light on the strengths and limitations of these variations.

While the federal government has provided guidance and assistance regarding emergency operations plans, States and localities may take very different approaches to this work and schools across the nation operate with different resources under different circumstances. Examples of research questions that NIJ will consider in this area include, but are not limited to:

- How does the development and implementation of EOPs vary across localities, States, or the nation; and is there empirical evidence to suggest that some approaches are superior to others in improving readiness to respond to an incident related to school violence?

- Under what circumstances have schools activated EOPs to respond to school violence issues; what do these responses look like; and do practitioners feel that the EOP helped to improve the response?
- What approaches to training of school personnel are most effective in preparing them to respond appropriately and according to the EOP?

Schools coordinate with justice system agencies and professionals (e.g., law enforcement, courts, probation) to varying degrees and in different ways. Examples of research questions that NIJ will consider in this area include, but are not limited to:

- What factors are related to variations in the use of arrest and use of force by law enforcement in schools?
- How do different strategies compare in terms of striking a balance between maintaining school safety and avoiding actions that criminalize typical student behavior?
- How do students perceive justice system involvement in schools and how are these perceptions related to overall school safety?
- How do different types of public schools differ in their coordination with the justice system (e.g., regular public schools vs. public alternative schools for at-risk students)?

---

#### **Category 4: Longitudinal Studies of School Safety**

Competition ID: NIJ-2016-9307

Creating and maintaining a safe school environment is particularly challenging in communities with high rates of crime and violence. The threats and disadvantages that students experience in these communities and in their homes carry over into the school environment. Students in these communities are more likely to be victims or witnesses to firearms violence and domestic violence; and are more likely to encounter gangs, substance abuse, and economic strain. These experiences can be traumatic, contribute to low educational achievement, and increase the probability that students themselves may carry out violent acts. In these communities, school violence, gang violence, domestic violence and other forms of violence are interconnected.<sup>7</sup>

The purpose of Category 4 is to support up to three longitudinal studies in separate localities that have high rates of crime and violence. These studies will analyze potential root causes of school violence by examining the interrelationships among factors at the school, family, individual, and community levels. These studies will address those factors that increase the risk of school violence and protective factors that buffer against risk. They will also examine multiple violence outcomes beyond school violence to assess the interconnectedness of multiple forms of violence. These studies will be carried out in close coordination with NIJ, as well as one or more LEA and appropriate community partners.

NIJ seeks to understand the localized and interrelated factors that influence school and student safety and violence. Much remains to be known about the relationships between the family and its functioning, community characteristics and crime rates, school and student safety, and how

---

<sup>7</sup> See *Connecting the Dots: An Overview of the Links Among Multiple Forms of Violence* at [http://www.cdc.gov/violenceprevention/pdf/connecting\\_the\\_dots-a.pdf](http://www.cdc.gov/violenceprevention/pdf/connecting_the_dots-a.pdf).

all of these interact and change over time. Schools are vital social institutions that are connected in each community with other important social institutions. Researchers have noted the need for multi-level longitudinal studies that can disentangle how these social institutions interact with one another and if changes in one institution can have resulting positive changes in another institution.

NIJ seeks to accomplish this by funding up to three longitudinal and multi-cohort studies that follow students within grades K-12 to understand the dynamic nature of their development and its impacts on what happens in school.

This award will cover a planning phase, pilot testing, multiple (no less than three) waves of data collection, data analysis, reporting, and data archiving.

Applicants should:

- Propose a multi-level, multi-cohort study. For example, an applicant may propose three waves of annual data collection beginning simultaneously with cohorts in the first, fourth, seventh, and tenth grades.
- Examine the interactions among factors in different domains, including but not limited to the interactions between individual-level risk and protective factors such as social and emotional competence; bullying victimization and communication skills; family-level factors such as parent affective bonding and consistent monitoring, supervision and reinforcement of behaviors; school-level factors such as school climate and discipline; and community-level factors such as crime rate and community supports.
- Identify and justify the selection of one or more LEAs and associated local community partners and describe how the partners will collaborate with each other and contribute to the execution of the study. Applicants should provide a letter of support from all partners specifying their engagement in the study. Applicants should describe how participating LEAs and local community partners may be involved in study coordination including such activities as participant recruitment, tracking and retention, and data collection.
- Identify the key constructs and the data sources that will be used in the study (e.g., student surveys, parent/family surveys/interviews, school data, arrest data and criminal histories, census information, public health and human services data etc.). Applicants should propose indicators that capture factors related to violence in schools including but not limited to: risk and protective factors at the individual, family, peer/community level; witnessing and exposures to violence including stalking, teen dating violence, domestic violence, sexual violence, and interpersonal violence; school characteristics such as climate, discipline practices, and violence prevention programs; aggression, misbehavior, and minor offending; and the most serious forms of juvenile and criminal offending including violent crime and property crime.
- Propose research questions that have not been addressed by previous studies on school safety and climate with an emphasis on those that address relationships among school, individual, family, and community factors.
- Include a sampling framework, power analysis, general information on survey structure, interview timeline, retention strategies and participant support costs.

- Identify subject matter experts to serve on an advisory group for the study. Advisory group members should collectively have expertise in longitudinal research, longitudinal instrument design and testing, school-based research, community-based research, and child development.
- Funding will be released in phases and so applicants should prepare two sets of budget documents, one for Phase 1 that will include planning, instrument development, and sampling plans; and the other for Phase 2 that will include data collection, analysis, and reporting.

The projects will be funded in the form of a cooperative agreement. The funded applicants will be expected to engage in an 18-month planning effort involving the National Institute of Justice and other subject matter experts or advisors noted in the proposal to finalize the sampling frame, instruments, and study protocols. Time and expenses should be allocated for stakeholder meetings and advisory meetings, pilot testing of instruments, review and approval of human subjects protections, review and approval from the Office of Management and Budget for compliance with the Paperwork Reduction Act (if necessary), and NIJ review and approval at key project milestones. Additionally, if participant support costs (e.g., incentives) are proposed, applicants are required to comply with NIJ's policy on such costs.<sup>8</sup>

Phase 1 Planning Period (18 months) tasks should include, but are not limited to:

- Formalize relationships with study partners through a Memoranda of Understanding/Agreement (MOU). The MOU should identify study locations, outline a process for dispute resolution, delineate roles and responsibilities, and discuss the conditions for access to schools, students, law enforcement agencies, community organizations and their respective data.
- Finalize the sampling strategy for recruiting the participants and finalize the design which should be the most rigorous study design possible to answer the proposed research questions.
- Engage in a planning effort during the first year involving the advisory board, NIJ, and other federal agency stakeholders as identified by NIJ.
- Pilot test the instruments and the study protocol.
- Gain the appropriate approval from the Office of Management and Budget to begin work, if necessary.
- Prepare a report to NIJ including outcomes from the pilot testing 90 days before the end of Phase 1.
- Prepare a revised research design, sampling framework, instruments and data collection strategy based on the results of the pilot testing which is due to NIJ 60 days before the end of Phase 1.

---

<sup>8</sup> <http://www.nij.gov/funding/Pages/research-participant-costs-and-incentives.aspx>.

Phase Two Data Collection and Reporting Period (up to 42 months) tasks should include, but are not limited to:

- Execution of data collection at no less than three time periods for each cohort.
- Continue to work with NIJ, federal stakeholders, and advisory group during the course of data collection.
- Refine research questions as needed.
- Finalize dissemination and translation plans with NIJ's Office of Communications.
- Complete award deliverables to include:
  - Full final report discussing both phases of the project, study data collection strategy, analysis methods, results, policy implications and limitations of the study.
  - At least four peer-reviewed journal articles.
  - At least two practitioner-oriented publications.
- Prepare data for archiving at the National Archive of Criminal Justice Data (NACJD).

---

### **Goals, Objectives, Deliverables, and Expected Scholarly Products**

The goal of this CSSI solicitation is to fund rigorous research that produces practical knowledge that can improve the safety of schools and students across the nation. This is accomplished through partnerships involving educators, researchers, and other stakeholders (e.g., law enforcement, behavioral, and mental health professionals) working toward the following objectives:

- Increasing scientific knowledge about the root causes, characteristics, and consequences of school violence and other threats to school and student safety.
- Developing, supporting, and rigorously evaluating a wide range of school and student safety programs, practices, and strategies.
- Developing a comprehensive school safety framework based on the best available information and evidence and testing it in selected school districts.

In addition to required data sets, interim and final progress and financial reports,<sup>9</sup> NIJ expects scholarly products to result from each award under this solicitation, taking the form of one or more published, peer-reviewed, scientific journal articles, and/or (if appropriate) law review journal articles, book chapter(s) or book(s) in the academic press, technological prototypes, patented inventions, or similar scientific products. **Please note: final reporting requirements differ in projects that involve program evaluations and those that do not**

---

<sup>9</sup> See "Federal Award Administration Information" ("General Information About Post-Federal Award Reporting Requirements") section of this solicitation, below, for additional information.

(see [Administrative, National Policy, and other Legal Requirements](#) under Section F. [Federal Award Administration Information](#), below).

In addition, one or more products should be developed to inform and influence practice and/or policy as it relates to school safety. Award recipients are expected to make at least one professional presentation directed to an audience (preferably a national audience) of practitioners and/or policymakers involved in advancing practice or policy related to school safety. The project team may also be asked to present findings and/or lessons learned through one of NIJ's dissemination vehicles such as a webinar, on-site presentation, and/or NIJ publication.

## **Evaluation Research**

If an application includes an evaluation research component (or consists entirely of evaluation research), the application is expected to propose the most rigorous evaluation design appropriate for the research questions to be addressed.

If the primary purpose of the evaluation is to determine the effectiveness or impact of an intervention (e.g., program, practice, or policy), the most rigorous evaluation designs may include random selection and assignment of participants (or other appropriate units of analysis) to experimental and control conditions. In cases where randomization is not feasible, applicants should propose a strong quasi-experimental design that can address the risk of selection bias. Applications that propose meta-analysis of existing evaluation studies must establish clear inclusion criteria that favor and provide separate analysis of effect sizes for randomized and strong quasi-experimental studies. Applicants are encouraged to review evidence rating criteria on the CrimeSolutions.gov website for further information on high-quality evaluation design elements.<sup>10</sup>

Applications that include evaluation research should consider including cost/benefit analysis. In cases where evaluations find that interventions have produced the intended benefit, cost/benefit analysis provides valuable and practical information for practitioners and policymakers that aids decision-making.

Evaluation research projects may address a wide range of research questions beyond those focused on the effectiveness or impact of an intervention. Different research designs may be more appropriate for different research questions and at different stages of program development. In all cases, applications are expected to propose the most rigorous evaluation design appropriate for the research questions to be addressed.

## **B. Federal Award Information**

**For [Category 1](#):** NIJ estimates that a total of up to \$45 million will become available. NIJ anticipates awards will be made in amounts ranging from \$1 million to \$5 million with project periods ranging from 24-48 months. NIJ expects to make awards in this category in the form of grants.

**For [Category 2](#):** NIJ estimates that a total of up to \$2 million will become available. NIJ anticipates awards will be made in amounts ranging from \$200,000 to \$1 million with project

---

<sup>10</sup> [www.crimesolutions.gov/about\\_instrument.aspx](http://www.crimesolutions.gov/about_instrument.aspx)

periods ranging from 24-36 months. NIJ expects to make awards in this category in the form of grants.

**For [Category 3](#):** NIJ estimates that a total of up to \$3 million will become available. NIJ anticipates awards will be made in amounts ranging from \$200,000 to \$700,000 with project periods ranging from 12-24 months. NIJ expects to make awards in this category in the form of grants.

**For [Category 4](#):** NIJ estimates that a total of up to \$15 million will become available. NIJ anticipates that it will make up to three awards in amounts up to \$5 million with project periods ranging from 48-60 months. NIJ expects to make awards in this category in the form of cooperative agreements.

To allow time for, among other things, any necessary post-award review, modification, and clearance by OJP of the proposed budget, applicants should propose an award start date of January 1, 2017.

If the applicant is proposing a project that reasonably could be conducted in discrete phases, with each phase resulting in completion of one or more significant, defined milestones, then NIJ strongly recommends that the applicant structure the application—specifically including the narrative, expected scholarly products, timelines/milestones, and budget detail worksheet and budget narrative—to clearly set out each phase. (This is particularly the case if the applicant proposes a project that will exceed—in cost or length of project period—the amount or length anticipated for an individual award (or awards) under this solicitation.) Given limitations on the availability to NIJ of funds for research, development, and evaluation awards, this information will assist NIJ in considering whether partial funding of proposals that would not receive full funding would be productive. (If NIJ elects to fund only certain phases of a proposed project in FY 2016, the expected scholarly products from the partial-funding award may, in some cases, vary from those described above.)

NIJ may, in certain cases, provide supplemental funding in future years to awards under its research, development, and evaluation solicitations. Important considerations in decisions regarding supplemental funding include, among other factors, the availability of funding, strategic priorities, NIJ's assessment of the quality of the management of the award (for example, timeliness and quality of progress reports), and NIJ's assessment of the progress of the work funded under the award.

All awards are subject to the availability of appropriated funds and to any modifications or additional requirements that may be imposed by law.

### **Type of Award<sup>11</sup>**

NIJ expects that it will make any awards from funding Categories 1, 2, and 3 in the form of a grant. However, NIJ reserves the authority to make selected awards from Categories 1, 2, or 3 as cooperative agreements on a case-by-case basis, where NIJ determines that a cooperative agreement relationship is more appropriate for the implementation of the funded project.

---

<sup>11</sup> See *generally* 31 U.S.C. §§ 6301-6305 (defines and describes various forms of federal assistance relationships, including grants and cooperative agreements [a type of grant]).



NIJ expects that it will make any award from Category 4 in the form of a cooperative agreement, which is a particular type of grant used if NIJ expects to have ongoing substantial involvement in award activities. Substantial involvement includes direct oversight and involvement with the grantee organization in implementation of the grant, but does not involve day-to-day project management. See [Administrative, National Policy, and other Legal Requirements](#), under Section [F. Federal Award Administration Information](#), for details regarding the federal involvement anticipated under an award from Category 4 of this solicitation.

As discussed [later in the solicitation](#), important rules (including limitations) apply to any conference/meeting/training costs under cooperative agreements.

**Please note:** Any recipient of an award under this solicitation will be required to comply with Department of Justice regulations on confidentiality and human subjects' protection. See "Evidence, Research, and Evaluation Guidance and Requirements" under "Solicitation Requirements" in [OJP's Funding Resource Center](#).

### **Financial Management and System of Internal Controls**

Award recipients and subrecipients (including any recipient or subrecipient funded in response to this solicitation that is a pass-through entity<sup>12</sup>) must, as described in the Part 200 Uniform Requirements set out at 2 C.F.R. 200.303:

- (a) Establish and maintain effective internal control over the federal award that provides reasonable assurance that the recipient (and any subrecipient) is managing the federal award in compliance with federal statutes, regulations, and the terms and conditions of the federal award. These internal controls should be in compliance with guidance in "Standards for Internal Control in the federal Government" issued by the Comptroller General of the United States and the "Internal Control Integrated Framework", issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).
- (b) Comply with federal statutes, regulations, and the terms and conditions of the federal awards.
- (c) Evaluate and monitor the recipient's (and any subrecipient's) compliance with statutes, regulations and the terms and conditions of federal awards.
- (d) Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.
- (e) Take reasonable measures to safeguard protected personally identifiable information and other information the federal awarding agency or pass-through entity designates as sensitive or the recipient (or any subrecipient) considers sensitive consistent with applicable federal, State, local, and tribal laws regarding privacy and obligations of confidentiality.

---

<sup>12</sup> For purposes of this solicitation (or program announcement), "pass-through entity" includes any entity eligible to receive funding as a recipient or subrecipient under this solicitation (or program announcement) that, if funded, may make a subaward(s) to a subrecipient(s) to carry out part of the funded program.

In order to better understand administrative requirements and cost principles, applicants are encouraged to enroll, at no charge, in the Department of Justice Grants Financial Management Online Training available [here](#).

## **Budget Information**

### **What will not be funded:**

- Proposals primarily to purchase equipment, materials, or supplies. (A budget may include these items if they are necessary to conduct research, development, demonstration, evaluation, or analysis.)
- Proposals that are not responsive to the categories of funding available in this specific solicitation.

## **Supplanting**

Federal funds must be used to supplement existing State, local, or tribal funds for program activities and must not supplant those funds that have been appropriated for the same purpose. Supplanting will be reviewed during the application process, post-award monitoring, and audit. If reviewers think that supplanting may have occurred, then the applicant or recipient will be required to supply documentation demonstrating that the reduction in non-federal resources occurred for reasons other than the receipt or expected receipt of federal funds.

Applicants or recipients are expected to notify NIJ, in writing, promptly, in the event that the applicant or recipient identifies potential supplanting so that, as the circumstances may require, appropriate action(s) can be taken to avoid or address its occurrence.

To help clarify the difference between supplementing and supplanting, we provide the following example:

State funds are appropriated to hire 50 new police officers, and federal funds are awarded for hiring 60 new police officers. At the end of the year, the State has hired 60 new police officers, and the federal funds have been exhausted. The State has not used its funds towards hiring new officers, but instead reduced its appropriation for that purpose and assigned or appropriated the funds to another purpose. In this case, the State has supplanted its appropriation with the federal funds. If supplanting had not occurred, 110 new officers would have been hired using federal funds for 60 officers and State funds for 50 officers.

## **Participant Support Costs and Incentives for Social Science Research**

NIJ has established policies concerning the use of reasonable and justified stipends (including travel costs) and incentives to support research integrity; please see Participant Support Costs and Incentives for Social Science Research at <http://www.nij.gov/funding/Pages/research-participant-costs-and-incentives.aspx> for guidance on requests for approval and proper tracking protocol.

## **Cost Sharing or Matching Requirement**

See “Cofunding” paragraph under item 4 (“Budget Detail Worksheet and Budget Narrative”) under [What an Application Should Include](#) in Section D. Application and Submission Information.

For additional cost sharing and match information, see the [Financial Guide](#).

## **Pre-Agreement Cost (also known as Pre-award Cost) Approvals**

Pre-agreement costs are costs incurred by the applicant prior to the start date of the period of performance of the grant award.

OJP does not typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. If approved, pre-agreement costs could be paid from grant funds consistent with a grantee’s approved budget, and under applicable cost standards. However, all such costs prior to award and prior to approval of the costs are incurred at the sole risk of an applicant. Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs. Should there be extenuating circumstances that appear to be appropriate for OJP’s consideration as pre-agreement costs, the applicant should contact the point of contact listed on the title page of this announcement for details on the requirements for submitting a written request for approval. See the section on [Costs Requiring Prior Approval](#) in the [Financial Guide](#), for more information.

## **Limitation on Use of Award Funds for Employee Compensation; Waiver**

With respect to any award of more than \$250,000 made under this solicitation, recipients may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the Federal Government’s Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year.<sup>13</sup> The 2016 salary table for SES employees is available at the Office of Personnel Management [website](#). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.) For employees who charge only a portion of their time to an award, the allowable amount to be charged is equal to the percentage of time worked times the maximum salary limitation.

The Director of the National Institute of Justice may exercise discretion to waive, on an individual basis, the limitation on compensation rates allowable under an award. An applicant requesting a waiver should include a detailed justification in the budget narrative of the application. Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request the applicant to adjust and resubmit the budget.

The justification should include the particular qualifications and expertise of the individual, the uniqueness of the service the individual will provide, the individual’s specific knowledge of the program or project being undertaken with award funds, and a statement explaining that the

---

<sup>13</sup> OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed at Appendix VIII to 2 C.F.R. Part 200.

individual's salary is commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work to be done.

### **Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs**

OJP strongly encourages applicants that propose to use award funds for any conference-, meeting-, or training-related activity to review carefully—before submitting an application—the OJP policy and guidance on “conference” approval, planning, and reporting available at [www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](http://www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm). OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most conference, meeting, and training costs for cooperative agreement recipients and of some conference, meeting, and training costs for grant recipients; and (3) set cost limits, including a general prohibition of all food and beverage costs.

### **Costs Associated with Language Assistance (if applicable)**

If an applicant proposes a program or activity that would deliver services or benefits to individuals, the costs of taking reasonable steps to provide meaningful access to those services or benefits for individuals with limited English proficiency may be allowable. Reasonable steps to provide meaningful access to services or benefits may include interpretation or translation services where appropriate.

For additional information, see the "Civil Rights Compliance" section under “Solicitation Requirements” in [OJP's Funding Resource Center](#).

## **C. Eligibility Information**

For eligibility information, see title page.

For additional information on cost sharing or matching requirements, see [Section B. Federal Award Information](#).

### **Limit on Number of Application Submissions**

If an applicant submits multiple versions of the same application, NIJ will review only the most recent system-validated version submitted. For more information on system-validated versions, see [How to Apply](#).

## **D. Application and Submission Information**

### **What an Application Should Include**

Applicants should anticipate that if they fail to submit an application that contains all of the specified elements, it may affect negatively the review of their application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude the recipient from accessing or using award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that applications determined to be nonresponsive to the scope of the solicitation, or that do not include the application elements that NIJ has designated to be critical, will neither proceed to peer review nor receive further consideration. Under this solicitation, NIJ has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet, Budget Narrative, and résumés/curriculum vitae of key personnel. For purposes of this solicitation, “key personnel” means the principal investigator, and any and all co-principal investigators. Please review the “Note on File Names and File Types” under [How to Apply](#) to be sure applications are submitted in permitted formats.

OJP strongly recommends that applicants use appropriately descriptive file names (e.g., “Program Narrative,” “Budget Detail Worksheet and Budget Narrative,” “Timelines,” “Memoranda of Understanding,” “Résumés”) for all attachments. Also, OJP recommends that applicants include résumés in a single file.

## **1. Information to Complete the Application for Federal Assistance (SF-424)**

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and OJP’s Grants Management System (GMS) take information from the applicant’s profile to populate the fields on this form. When selecting “type of applicant,” if the applicant is a for-profit entity, select “For-Profit Organization” or “Small Business” (as applicable).

**Intergovernmental Review:** This funding opportunity (program) **is not** subject to [Executive Order 12372](#). (In completing the SF-424, applicants are to make the appropriate selection in response to question 19 to indicate that the “Program is not covered by E.O. 12372.”)

## **2. Project Abstract**

The project abstract is a very important part of the application, and serves as an introduction to the proposed project. NIJ uses the project abstract for a number of purposes, including assignment of the application to an appropriate review panel. If the application is funded, the project abstract typically will become public information and be used to describe the project.

Applications should include a high-quality project abstract that summarizes the proposed project in 250-400 words. Project abstracts should be—

- Written for a general public audience.
- Submitted as a separate attachment with “Project Abstract” as part of its file name.
- Single-spaced, using a standard 12-point font (Times New Roman) with 1-inch margins.

As a separate attachment, the project abstract will **not** count against the page limit for the program narrative.

Project abstracts should follow the detailed template (including the detailed instructions as to content) available at [www.nij.gov/funding/documents/nij-project-abstract-template.pdf](http://www.nij.gov/funding/documents/nij-project-abstract-template.pdf).

### 3. Program Narrative

The program narrative section of the application should not exceed 30 double-spaced pages in 12-point font with 1-inch margins. If included in the main body of the program narrative, tables, charts, figures, and other illustrations count toward the 30-page limit for the narrative section. The project abstract, table of contents, appendices, and government forms do not count toward the 30-page limit.

If the program narrative fails to comply with these length-related restrictions, NIJ may consider such noncompliance in peer review and in final award decisions.

The following sections should be included as part of the program narrative.<sup>14</sup>

#### Program Narrative Guidelines:

**a. Title Page** (not counted against the 30-page program narrative limit).

The title page should include the title of the project, submission date, funding opportunity number, and the name and complete contact information (that is, address, telephone number, and e-mail address) for both the applicant organization and the principal investigator. This page should also specify clearly the category of CSSI funding to which the application is directed. NIJ reserves the authority to designate a category for an application if the application does not specify a category, or if NIJ, upon review of the application, identifies another category under which the application appears to fit better than the category the application specifies. If NIJ should decide to designate or change the category for an application, the point of contact for the application will be notified and will have an opportunity to object to the move.

**b. Resubmit Response** (if applicable) (not counted against the 30-page program narrative limit).

If an applicant is resubmitting a proposal presented previously to NIJ, but not funded, the applicant should indicate this. A statement should be provided, no more than two pages, addressing: (1) the title, submission date, and NIJ-assigned application number of the previous proposal, and (2) a brief summary of revisions to the proposal, including responses to previous feedback received from NIJ.

**c. Table of Contents and Figures** (not counted against the 30-page program narrative limit).

---

<sup>14</sup> As noted earlier, if the proposed program or project reasonably could be conducted in discrete phases, with each phase resulting in completion of one or more significant, defined milestones, then NIJ strongly recommends that the applicant structure the application – specifically including the narrative, expected scholarly products, timelines/milestones, and budget detail worksheet and budget narrative – to set out each phase clearly. (In appropriate cases, the expected scholarly product(s) from a particular phase may vary from those described above.) See generally, “Goals, Objectives, Deliverables, and Expected Scholarly Products” under “Program-Specific Information,” above.

#### **d. Main Body**

The main body of the program narrative should describe the proposed project in depth. The following sections should be included as part of the program narrative:

- Statement of the Problem.
- Project Design and Implementation.
- Potential Impact.
- Capabilities/Competencies.

Within these sections, the narrative should address:

- Purpose, goals, and objectives.
- Review of relevant literature.
- Detailed description of research design and methods, such as research questions, hypotheses, description of sample, and analysis plan.
- Planned Scholarly Products (See [Goals, Objectives, Deliverables, and Expected Scholarly Products](#) under [Program-Specific Information](#), above, for a discussion of expected scholarly products.)
- Implications for criminal justice policy and practice in the United States.
- Management plan and organization.
- Plan for Dissemination to Broader Audiences (if applicable to the proposed project). Applicants should identify plans (if any) to produce or to make available to broader interested audiences – such as education practitioners, criminal/juvenile justice practitioners or policymakers – summary information from the planned scholarly products of the proposed project (such as summaries of articles in peer-reviewed scientific journals), in a form designed to be readily accessible and useful to those audiences. (Such dissemination might include, for example, trade press articles and webinars.)

#### **e. Appendices** (not counted against the 30-page program narrative limit) include:

- Bibliography/references.
- Any tools/instruments, questionnaires, tables/charts/graphs, or maps pertaining to the proposed project that are supplemental to such items included in the main body of the narrative.



- Curriculum vitae or resumes of the principal investigator and any and all co-principal investigators. In addition, curriculum vitae, resumes, or biographical sketches of all other individuals (regardless of “investigator” status) who will be significantly involved in substantive aspects of the proposal (including, for example, individuals such as statisticians serving as consultants to conduct proposed data analysis).
- List (to the extent known) of all proposed project staff members, including those affiliated with the applicant organization or any proposed subrecipient organization(s), any proposed consultant(s) and contractors (whether individuals or organizations), and any proposed members of an advisory board for the project (if applicable). The list should include, for each individual and organization: name, title (if applicable), employer or other organizational affiliation, and roles and responsibilities proposed for the project. Applicants should use the “Proposed Project Staff, Affiliation, and Roles” form available at [www.nij.gov/funding/documents/nij-project-staff-template.xlsx](http://www.nij.gov/funding/documents/nij-project-staff-template.xlsx) to provide this listing.
- Proposed project timeline and expected milestones.
- Human Subjects Protection paperwork (documentation and forms related to Institutional Review Board (IRB) review).  
(See [nij.gov/funding/humansubjects/Pages/welcome.aspx](http://nij.gov/funding/humansubjects/Pages/welcome.aspx)) NOTE: Final IRB approval is not required at the time an application is submitted.
- Privacy Certificate (for further guidance go to [nij.gov/funding/humansubjects/pages/confidentiality.aspx](http://nij.gov/funding/humansubjects/pages/confidentiality.aspx)).
- List of any previous and current NIJ awards to applicant organization and investigator(s), including the NIJ-assigned award numbers and a brief description of any scholarly products that resulted in whole or in part from work funded under the NIJ award(s). (See “Goals, Objectives, Deliverables, and Expected Scholarly Products” under “Program-Specific Information,” above, for definition of “scholarly products.”)
- Letters of cooperation/support or administrative agreements from organizations collaborating in the project, such as SEAs, LEAs, research partners, law enforcement, and mental health agencies (if applicable).
- List of other agencies, organizations, or funding sources to which this proposal has been submitted (if applicable).
- Data archiving plan. Applicants should anticipate that NIJ will require (through special award conditions, including a partial withholding of award funds) that data sets resulting in whole or in part from projects funded under this solicitation be submitted for archiving with the National Archive of Criminal Justice Data (NACJD) (See [www.nij.gov/funding/data-resources-program/applying/Pages/data-archiving-strategies.aspx](http://www.nij.gov/funding/data-resources-program/applying/Pages/data-archiving-strategies.aspx)).

Applications should include as an appendix a brief plan – labeled “Data Archiving Plan” – to comply with data archiving requirements. The plan should provide brief details about proposed data management and archiving, including submission to NIJ (through NACJD) of **all files and documentation** necessary to allow for future efforts by others to reproduce the project’s findings and/or to extend the scientific value of the data set through secondary analysis. Pertinent files and documentation include, among other things, qualitative and quantitative data produced, instrumentation and data collection forms, codebook(s), any specialized programming code necessary to reproduce all constructed measures and the original data analysis, description of necessary de-identification procedures, and (when required) a copy of the privacy certificate and informed consent protocols.

The plan should be one or two pages in length and include the level of effort associated with meeting archiving requirements.

Note that required data sets are to be submitted 90 days before the end of the project period.

#### **4. Budget Detail Worksheet and Budget Narrative**

##### **a. Budget Detail Worksheet**

A sample Budget Detail Worksheet can be found at [www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf](http://www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf). Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet. (Work associated with satisfying data archiving requirements should be reflected.) NIJ expects applicants to provide a thorough narrative to each section of the Budget Detail Worksheet. The Budget Detail Worksheet should be broken down by year.

For questions pertaining to budget and examples of allowable and unallowable costs, see the Financial Guide at <http://ojp.gov/financialguide/DOJ/index.htm>.

##### **b. Budget Narrative**

The budget narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. OJP expects proposed budgets to be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities).

Applicants should demonstrate in their budget narratives how they will maximize cost effectiveness of grant expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the goals of the project. For example, a budget narrative should detail why planned in-person meetings are necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

The narrative should be sound mathematically, and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how the applicant estimated and calculated all costs, and how they are relevant to the completion

of the proposed project. The narrative may include tables for clarification purposes but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the Budget Narrative should be broken down by year.

**c. Cofunding**

An award made by NIJ under this solicitation may account for up to 100 percent of the total cost of the project. The application should indicate whether it is feasible for the applicant to contribute cash, facilities, or services as non-federal support for the project. The application should identify generally any such contributions that the applicant expects to make and the proposed budget should indicate in detail which items, if any, will be supported with non-federal contributions.

For additional match information, see the [Cost Sharing or Match Requirement](#) section under [Section B. Federal Award Information](#).

If a successful application proposes a voluntary match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit.

**d. Non-Competitive Procurement Contracts In Excess of Simplified Acquisition Threshold**

If an applicant proposes to make one or more non-competitive procurements of products or services, where the non-competitive procurement will exceed the simplified acquisition threshold (also known as the small purchase threshold), which is currently set at \$150,000, the application should address the considerations outlined in the [Financial Guide](#).

**e. Pre-Agreement Cost Approvals**

For information on pre-agreement costs approvals, see [Section B. Federal Award Information](#).

**5. Indirect Cost Rate Agreement (if applicable)**

Indirect costs are allowed only under the following circumstances:

- (a) The applicant has a current, federally approved indirect cost rate; or
- (b) The applicant is eligible to use and elects to use the “de minimis” indirect cost rate described in the Part 200 Uniform Requirements as set out at 2 C.F.R. 200.414(f).

Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their cognizant federal agency, which will review all documentation and approve a rate for the applicant organization, or, if the applicant’s accounting system permits, costs may be allocated in the direct cost categories. For the definition of Cognizant Federal Agency, see the “Glossary of Terms” in the [Financial Guide](#). For assistance with identifying your cognizant agency, please contact the Customer Service Center at 1-800-458-0786 or at [ask.ocfo@usdoj.gov](mailto:ask.ocfo@usdoj.gov). If DOJ is

the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at [www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf](http://www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf).

In order to use the “de minimis” indirect rate, attach written documentation to the application that advises OJP of both the applicant’s eligibility (to use the “de minimis” rate) and its election. If the applicant elects the “de minimis” method, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. In addition, if this method is chosen then it must be used consistently for all federal awards until such time as you choose to negotiate a federally approved indirect cost rate.<sup>15</sup>

## **6. Tribal Authorizing Resolution (if applicable)**

Tribes, tribal organizations, or third parties proposing to provide direct services or assistance to residents on tribal lands should include in their applications a resolution, a letter, affidavit, or other documentation, as appropriate, that certifies that the applicant has the legal authority from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for a grant on behalf of a tribe or multiple specific tribes, the application should include appropriate legal documentation, as described above, from all tribes that would receive services or assistance under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without an authorizing resolution or comparable legal documentation from each tribal governing body) may submit, instead, a copy of its consortium bylaws with the application.

## **7. Applicant Disclosure of High-Risk Status**

Applicants are to disclose whether they are currently designated high-risk by another federal grant making agency. This includes any status requiring additional oversight by the federal agency due to past programmatic or financial concerns. If an applicant is designated high-risk by another federal grant making agency, you must email the following information to [OJPComplianceReporting@usdoj.gov](mailto:OJPComplianceReporting@usdoj.gov) at the time of application submission:

- The federal agency that currently designated the applicant as high-risk.
- Date the applicant was designated high risk.
- The high-risk point of contact name, phone number, and email address, from that federal agency.
- Reasons for the high-risk status.

OJP seeks this information to ensure appropriate federal oversight of any grant award. Disclosing this high risk information does not disqualify any organization from receiving an OJP award. However, additional grant oversight may be included, if necessary, in award documentation.

---

<sup>15</sup> See 2 C.F.R. § 200.414(f).

## 8. Additional Attachments

### a. Applicant disclosure of pending applications<sup>16</sup>

Applicants are to disclose whether they have pending applications for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation. The disclosure should include both direct applications for federal funding (e.g., applications to federal agencies) and indirect applications for such funding (e.g., applications to State agencies that will subaward federal funds).

OJP seeks this information to help avoid any inappropriate duplication of funding. Leveraging multiple funding sources in a complementary manner to implement comprehensive programs or projects is encouraged and is not seen as inappropriate duplication.

Applicants that have pending applications as described above are to provide the following information about pending applications submitted within the last 12 months:

- The federal or State funding agency.
- The solicitation name/project name.
- The point of contact information at the applicable funding agency.

<b>Federal or State Funding Agency</b>	<b>Solicitation Name/Project Name</b>	<b>Name/Phone/E-mail for Point of Contact at Funding Agency</b>
DOJ/COPS	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov
HHS/ Substance Abuse & Mental Health Services Administration	Drug Free Communities Mentoring Program/ North County Youth Mentoring Program	John Doe, 202/000-0000; john.doe@hhs.gov

Applicants should include the table as a separate attachment to their application. The file should be named "Disclosure of Pending Applications."

Applicants that do not have pending applications as described above are to include a statement to this effect in the separate attachment page (e.g., "[Applicant Name on SF-424] does not have pending applications submitted within the last 12 months for federally funded grants or subgrants (including cooperative agreements) that include

<sup>16</sup> Typically, the applicant is not the principal investigator; rather, the applicant, most frequently, is the institution, organization, or company in which the principal investigator is employed.

requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation.”).

**b. Research and Evaluation Independence and Integrity**

If a proposal involves research and/or evaluation, regardless of the proposal’s other merits, in order to receive funds, the applicant must demonstrate research/evaluation independence, including appropriate safeguards to ensure research/evaluation objectivity and integrity, both in this proposal and as it may relate to the applicant’s other current or prior related projects. This documentation may be included as an attachment to the application which addresses BOTH i. and ii. below.

- i. For purposes of this solicitation, applicants must document research and evaluation independence and integrity by including, at a minimum, one of the following two items:

- a. A specific assurance that the applicant has reviewed its proposal to identify any research integrity issues (including all principal investigators and sub-recipients) and it has concluded that the design, conduct, or reporting of research and evaluation funded by NIJ grants, cooperative agreements, or contracts will not be biased by any personal or financial conflict of interest on the part of part of its staff, consultants, and/or sub-recipients responsible for the research and evaluation or on the part of the applicant organization;

OR

- b. A specific listing of actual or perceived conflicts of interest that the applicant has identified in relation to this proposal. These conflicts could be either personal (related to specific staff, consultants, and/or sub-recipients) or organizational (related to the applicant or any subgrantee organization). Examples of potential investigator (or other personal) conflict situations may include, but are not limited to, those in which an investigator would be in a position to evaluate a spouse’s work product (actual conflict), or an investigator would be in a position to evaluate the work of a former or current colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization could not be given a grant to evaluate a project if that organization had itself provided substantial prior technical assistance to that specific project or a location implementing the project (whether funded by OJP or other sources), as the organization in such an instance would appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability of an evaluation or research product is a problem and must be disclosed.

- ii. In addition, for purposes of this solicitation applicants must address the issue of possible mitigation of research integrity concerns by including, at a minimum, one of the following two items:

- a. If an applicant reasonably believes that no potential personal or organizational conflicts of interest exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. Applicants **MUST** also include an explanation of the specific processes and procedures that the applicant will put in place to identify and eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or sub-recipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest.

OR

- b. If the applicant has identified specific personal or organizational conflicts of interest in its proposal during this review, the applicant must propose a specific and robust mitigation plan to address conflicts noted above. At a minimum, the plan must include specific processes and procedures that the applicant will put in place to eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or sub-recipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

Considerations in assessing research and evaluation independence and integrity will include, but are not be limited to, the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the organization in carrying out the research, development, or evaluation activity; and the adequacy of the applicant's existing or proposed remedies to control any such factors.

## **9. Financial Management and System of Internal Controls Questionnaire**

In accordance with the Part 200 Uniform Requirements as set out at [2 C.F.R. 200.205](#), federal agencies must have in place a framework for evaluating the risks posed by applicants before they receive a federal award. To facilitate part of this risk evaluation, **all** applicants (other than an individual) are to download, complete, and submit this [form](#).

## **10. Disclosure of Lobbying Activities**

All applicants must complete this information. Applicants that expend any funds for lobbying activities are to provide the detailed information requested on the form [Disclosure of Lobbying Activities \(SF-LLL\)](#). Applicants that do not expend any funds for lobbying activities are to enter "N/A" in the text boxes for item 10 ("a. Name and Address of Lobbying Registrant" and "b. Individuals Performing Services").



## How to Apply

Applicants must register in, and submit applications through Grants.gov, a primary source to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at [www.Grants.gov](http://www.Grants.gov). Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

NIJ strongly encourages all prospective applicants to sign up for Grants.gov email [notifications](#) regarding this solicitation. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be automatically notified.

**Browser Information:** Grants.gov was built to be compatible with Internet Explorer. For technical assistance with Google Chrome, or another browser, contact Grants.gov Customer Support.

**Note on Attachments.** Grants.gov has two categories of files for attachments: mandatory and optional. OJP receives all files attached in both categories. Please insure all required documents are attached in the mandatory category.

**Note on File Names and File Types:** Grants.gov only permits the use of certain specific characters in names of attachment files. Valid file names may include only the characters shown in the table below. Grants.gov is designed to reject any application that includes an attachment(s) with a file name that contains any characters not shown in the table below. Grants.gov is designed to forward successfully submitted applications to OJP's Grants Management System (GMS).

Characters	Special Characters		
Upper case (A – Z)	Parenthesis ( )	Curly braces { }	Square brackets [ ]
Lower case (a – z)	Ampersand (&)	Tilde (~)	Exclamation point (!)
Underscore ( _ )	Comma ( , )	Semicolon ( ; )	Apostrophe ( ' )
Hyphen ( - )	At sign ( @ )	Number sign ( # )	Dollar sign ( \$ )
Space	Percent sign ( % )	Plus sign ( + )	Equal sign ( = )
Period ( . )	<b>When using the ampersand (&amp;) in XML, applicants must use the “&amp;amp;” format.</b>		

**GMS does not accept executable file types as application attachments.** These disallowed file types include, but are not limited to, the following extensions: “.com,” “.bat,” “.exe,” “.vbs,” “.cfg,” “.dat,” “.db,” “.dbf,” “.dll,” “.ini,” “.log,” “.ora,” “.sys,” and “.zip.” GMS may reject applications with files that use these extensions. It is important to allow time to change the type of file(s) if the application is rejected.

All applicants are required to complete the following steps:

OJP may not make a federal award to an applicant organization until the applicant organization has complied with all applicable DUNS and SAM requirements. Individual applicants must comply with all Grants.gov requirements. If an applicant has not fully complied with the requirements by the time the federal awarding agency is ready to make a federal award, the federal awarding agency may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

Individual applicants should search Grants.gov for a funding opportunity for which individuals are eligible to apply. Use the Funding Opportunity Number (FON) to register. Complete the registration form at <https://apply07.grants.gov/apply/IndCPRegister> to create a username and password. Individual applicants should complete all steps except 1, 2 and 4.

- 1. Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.
- 2. Acquire registration with the System for Award Management (SAM).** SAM is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. OJP requires all applicants (other than individuals) for federal financial assistance to maintain current registrations in the SAM database. Applicants must be registered in SAM to successfully register in Grants.gov. Applicants must **update or renew their SAM registration annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete.

Applications cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. Once the SAM registration/renewal is complete, **the information transfer from SAM to Grants.gov can take up to 48 hours.** OJP recommends that the applicant register or renew registration with SAM as early as possible.

Information about SAM registration procedures can be accessed at [www.sam.gov](http://www.sam.gov).

- 3. Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS number must be used to complete this step. For more information about the registration process, go to [www.grants.gov/web/grants/register.html](http://www.grants.gov/web/grants/register.html). Individuals registering with Grants.gov should go to <http://www.grants.gov/web/grants/applicants/individual-registration.html>.
- 4. Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. Note that an organization can have more than one AOR.

5. **Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance number for this solicitation is 16.560 titled “National Institute of Justice Research, Evaluation, and Development Project Grants,” and the funding opportunity numbers are:
1. [Category 1](#): Developing Knowledge About What Works to Make Schools Safe
    - NIJ-2016-9304
  2. [Category 2](#): Causes and Consequences of School Violence
    - NIJ-2016-9305
  3. [Category 3](#): Shorter Term Studies on School Safety
    - NIJ-2016-9306
  4. [Category 4](#): Longitudinal Studies of School Safety
    - NIJ-2016-9307
6. **Select the correct Competition ID.** This solicitation will be posted to Grants.gov and contain multiple purpose areas, denoted by the individual Competition ID. If applying to a solicitation with multiple Competition IDs, select the appropriate Competition ID for the intended purpose area of the application.
7. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24-48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application and the second will state whether the application has been successfully validated, or rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received and then receive a rejection notice a few minutes or hours later. Submitting well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges applicants to submit applications **at least 72 hours prior** to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on May 27, 2016.

Click [here](#) for further details on DUNS, SAM, and Grants.gov registration steps and timeframes.

#### **Note: Duplicate Applications**

If an applicant submits multiple versions of the same application, NIJ will review only the most recent system-validated version submitted. See Note on File Names and File Types under [How To Apply](#).

#### **Experiencing Unforeseen Grants.gov Technical Issues**

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must contact the [Grants.gov](#)

[Customer Support Hotline](#) or the [SAM Help Desk](#) (Federal Service Desk) to report the technical issue and receive a tracking number. Then applicants must e-mail the NIJ contact identified in the Contact Information section on page 2 **within 24 hours after the application deadline** and request approval to submit their application. The e-mail must describe the technical difficulties, and include a timeline of the applicant's submission efforts, the complete grant application, the applicant's DUNS number, and any Grants.gov Help Desk or SAM tracking number(s). **Note: NIJ does not automatically approve requests.** After the program office reviews the submission, and contacts the Grants.gov or SAM Help Desks to validate the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If OJP determines that the applicant failed to follow all required procedures, which resulted in an untimely application submission, OJP will deny the applicant's request to submit their application.

The following conditions are generally insufficient to justify late submissions:

- Failure to register in SAM or Grants.gov in sufficient time (SAM registration and renewal can take as long as 10 business days to complete. The information transfer from SAM to Grants.gov can take up to 48 hours.)
- Failure to follow Grants.gov instructions on how to register and apply as posted on its website.
- Failure to follow each instruction in the OJP solicitation.
- Technical issues with the applicant's computer or information technology environment, including firewalls, browser incompatibility, etc.

**Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding web page at <http://ojp.gov/funding/index.htm>.**

## **E. Application Review Information**

### **Selection Criteria**

Applications that meet basic minimum requirements will be evaluated by peer reviewers using the following review criteria.

**Statement of the Problem** (Understanding of the problem and its importance) – 10%

1. Demonstrated understanding of the problem.
2. Demonstrated awareness of the state of current research.

**Project Design and Implementation** (Quality and technical merit) – 40%

1. Soundness of methods and analytic and technical approach to addressing the stated aim(s) of the proposed project.
2. Feasibility of proposed project.

3. Awareness of potential pitfalls of proposed project design and feasibility of proposed actions to minimize and/or mitigate them.

### **Potential Impact – 20%**

Potential for a significant scientific or technical advance(s) that will improve school safety or criminal/juvenile justice in the United States, such as:

1. Potential for significantly improved understanding of the stated school safety or criminal/juvenile justice problem.
2. Potential for innovative solution to address (all or a significant part of) the stated school safety or criminal/juvenile justice problem.

**Capabilities/Competencies** (Capabilities, demonstrated productivity, and experience of the applicant organization and proposed project staff) – 20%

1. Qualifications and experience of proposed project staff (that is, the principal investigator, any and all co-principal investigators, and all other individuals (and organizations) identified in the application (regardless of “investigator” status) who will be significantly involved in substantive aspects of the proposal).
2. Demonstrated ability of the applicant organization to manage the effort.
3. Relationship between the capabilities/competencies of the proposed project staff (including the applicant organization) and the scope of the proposed project.

### **Dissemination Strategy to broader audiences– 10%**

1. Well-defined plan for the grant recipient to disseminate results to appropriate school safety audiences, including researchers, practitioners, and policymakers.
2. Suggestions for print and electronic products that NIJ should consider developing for school safety practitioners and policymakers.
3. If applicable, a clear strategy leading to the adoption into practice of any equipment or software.

### **Budget**

Peer reviewers will consider and may comment on the following additional items in the context of scientific and technical merit.

1. Total cost of the project relative to the perceived benefit (cost effectiveness).
2. Appropriateness of the budget relative to the level of effort.
3. Use of existing resources to conserve costs.
4. Proposed budget alignment with proposed project activities.

## Review Process

OJP is committed to ensuring a fair and open process for awarding grants. NIJ reviews the application to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with the solicitation.

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. For purposes of assessing whether applicants have met basic minimum requirements, OJP screens applications for compliance with specified program requirements to help determine which applications should proceed to further consideration for award. Although program requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP grant programs:

- Applications must be submitted by an eligible type of applicant.
- Applications must request funding within programmatic funding constraints (if applicable).
- Applications must be responsive to the scope of the solicitation.
- Applications must include all items designated as “critical elements.”
- Applicants will be checked against the System for Award Management.

For a list of critical elements, see “What an Application Should Include” under [Section D. Application and Submission Information](#).

NIJ may use internal peer reviewers, external peer reviewers, or a combination, to assess applications meeting basic minimum requirements on technical merit using the solicitation’s selection criteria. An external peer reviewer is an expert in the subject matter of a given solicitation who is not a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements.

OJP reviews applications for potential discretionary awards to evaluate the risks posed by applicants before they receive an award. This review may include but is not limited to the following:

1. Financial stability and fiscal integrity.
2. Quality of management systems and ability to meet the management standards prescribed in the Financial Guide.
3. History of performance.
4. Reports and findings from audits.
5. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on award recipients.

6. Proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs, and whether those costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations.

All final award decisions will be made by the Director of the National Institute of Justice. Peer reviewers' ratings and any resulting recommendations are advisory only, although their views are considered carefully. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, planned scholarly products, proposed budgets, past performance (including scholarly products) under prior NIJ and OJP awards, research independence and integrity, strategic priorities, and available funding when making awards.

## **F. Federal Award Administration Information**

### **Federal Award Notices**

OJP sends award notification by email through GMS to the individuals listed in the application as the point of contact and the authorizing official (E-Biz POC and AOR). The email notification includes detailed instructions on how to access and view the award documents, and how to accept the award in GMS. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date (by September 30, 2016). Recipients will be required to login; accept any outstanding assurances and certifications on the award; designate a financial point of contact; and review, sign, and accept the award. The award acceptance process involves physical signature of the award document by the authorized representative and the scanning of the fully-executed award document to OJP.

### **Administrative, National Policy, and other Legal Requirements**

If selected for funding, in addition to implementing the funded project consistent with the agency-approved project proposal and budget, the recipient must comply with award terms and conditions, and other legal requirements, that are included in the award, incorporated into the award by reference, or are otherwise applicable to the award. OJP strongly encourages prospective applicants to review the information pertaining to these requirements **prior** to submitting an application. To assist applicants and recipients in accessing and reviewing this information, OJP has placed it on its [Solicitation Requirements](#) page of the [OJP Funding Resource Center](#).

Please note in particular the following two forms, which applicants must submit in GMS prior to the receipt of any award funds, as each details legal requirements with which applicants must provide specific assurances and certifications of compliance. Applicants may view these forms in the [OJP Funding Resource Center](#) and are strongly encouraged to review and consider them carefully prior to making an application for OJP grant funds.

- [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements.](#)
- [Standard Assurances.](#)



Upon grant approval, OJP electronically transmits (via GMS) the award document to the prospective award recipient. In addition to other award information, the award document contains award terms and conditions that specify national policy requirements<sup>17</sup> with which recipients of federal funding must comply; uniform administrative requirements, cost principles, and audit requirements; and program-specific terms and conditions required based on applicable program (statutory) authority or requirements set forth in OJP solicitations and program announcements. For example, certain efforts may call for special requirements, terms, or conditions relating to intellectual property, data/information-sharing or -access, or information security; or audit requirements, expenditures and milestones, or publications and/or press releases.

OJP also may place additional terms and conditions on an award based on its risk assessment of the applicant, or for other reasons it determines necessary to fulfill the goals and objectives of the program.

Prospective applicants may access and review the text of mandatory conditions OJP includes in all OJP awards, as well as the text of certain other conditions, such as administrative conditions, via the [Mandatory Award Terms and Conditions](#) page of the [OJP Funding Resource Center](#).

As stated above, NIJ expects that it will make any award from Category 4 of this solicitation (and, in appropriate circumstances, should NIJ choose, selected awards from Categories 1, 2, and 3) in the form of a cooperative agreement. Cooperative agreement awards include standard “federal involvement” conditions that describe the general allocation of responsibility for execution of the funded program. Generally stated, under cooperative agreement awards, responsibility for the day-to-day conduct of the funded project rests with the recipient in implementing the funded and approved proposal and budget, and the award terms and conditions. Responsibility for oversight and redirection of the project, if necessary, rests with NIJ.

In addition to any “federal involvement” condition(s), OJP cooperative agreement awards include a special condition specifying certain reporting requirements required in connection with conferences, meetings, retreats, seminars, symposium, training activities, or similar events funded under the award, consistent with OJP policy and guidance on “conference” approval, planning, and reporting.

Category 4 award recipients will be expected to work closely with NIJ on tasks related to developing and refining the longitudinal studies and the evaluation designs. NIJ will exercise careful oversight on all project elements, with particular attention to sampling strategy, participant retention, and adherence to data collection protocols. Category 4 award recipients will participate in annual meetings with NIJ and representatives from other funded efforts carrying out similar work. Successful applicants will be expected to share information and contribute to peer-to-peer learning opportunities.

### **General Information About Post-Federal Award Reporting Requirements**

Recipients must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements. The final progress report shall encompass the entire scope for the full

---

<sup>17</sup> See *generally* 2 C.F.R. 200.300 (provides a general description of national policy requirements typically applicable to recipients of federal awards, including the Federal Funding Accountability and Transparency Act of 2006 (FFATA)).

project period. Applicants should anticipate that progress reports will be required to follow the non-budgetary components of the Research Performance Progress Report (RPPR) template/format. General information on RPPRs may be found at [www.nsf.gov/bfa/dias/policy/rppr/](http://www.nsf.gov/bfa/dias/policy/rppr/). Future awards and fund drawdowns may be withheld if reports are delinquent.

Special Reporting requirements may be required by OJP depending on the statutory, legislative or administrative requirements of the recipient or the program.

As indicated earlier in this solicitation, NIJ expects scholarly products to result from any award under this solicitation. Please review the [Goals, Objectives, Deliverables, and Expected Scholarly Products](#) segment of the “Program-Specific Information” section of this solicitation, as well as the “Performance Measures” section.

In addition to the expectation of scholarly products, successful applicants under this solicitation will be required to submit the following deliverables regarding the work funded by the NIJ award.

### **Required Data Sets and Associated Files and Documentation**

As discussed earlier, NIJ requires recipients of an award under this solicitation to submit to NACJD all data sets that result in whole or in part from the work funded by NIJ, along with associated files and any documentation necessary to allow for future efforts by others to reproduce the project’s findings and/or to extend the scientific value of the data set through secondary analysis. All data sets and necessary documentation are to be submitted 90 days prior to the end of the project period. For more information, see the “Program Narrative” section of [What an Application Should Include](#).

### **Performance Measures**

To demonstrate program progress and success, as well as, to assist the Department with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111–352, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. OJP will require any award recipient, post award, to provide the data requested in the “Data Grantee Provides” column so that OJP can calculate values for the “Performance Measures” column. (Submission of performance measures data is not required for the application.) Performance measures for this solicitation are as follows:

Objective	Performance Measure(s)	Data Grantee Provides
Conduct research in social and behavioral sciences having clear implications for criminal justice policy and practice in the United States.	<ol style="list-style-type: none"> <li>1. Relevance to the needs of the field as measured by whether the project's substantive scope did not deviate from the funded proposal or any subsequent agency-approved modifications to the scope.</li> <li>2. Quality of the research as demonstrated by the scholarly products that result in whole or in part from work funded under the NIJ award (published, peer-reviewed, scientific journal articles, and/or (as appropriate for the funded project) law review journal articles, book chapter(s) or book(s) in the academic press, technological prototypes, patented inventions, or similar scientific products).</li> <li>3. Quality of management as measured by such factors as whether significant project milestones were achieved, reporting and other deadlines were met, and costs remained within approved limits.</li> </ol>	<ol style="list-style-type: none"> <li>1. Quarterly financial reports, semi-annual and final progress reports.</li> <li>2. List of citation(s) to all scholarly products that resulted in whole or in part from work funded under the NIJ award.</li> <li>3. If applicable, each data set that resulted in whole or in part from work funded under the NIJ award.</li> </ol>

## G. Federal Awarding Agency Contact(s)

For Federal Awarding Agency Contact(s), see the title page.

For contact information for Grants.gov, see the title page.

## H. Other Information

### Provide Feedback to OJP

To assist OJP in improving its application and award processes, we encourage applicants to provide feedback on this solicitation, the application submission process, and/or the application review/peer review process. Provide feedback to [OJPSolicitationFeedback@usdoj.gov](mailto:OJPSolicitationFeedback@usdoj.gov).

**IMPORTANT:** This e-mail is for feedback and suggestions only. Replies are not sent from this mailbox. If you have specific questions on any program or technical aspect of the solicitation, you must directly contact the appropriate number or e-mail listed on the front of this solicitation document. These contacts are provided to help ensure that you can directly reach an individual who can address your specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please e-mail your résumé to [ojppeerreview@lmsolas.com](mailto:ojppeerreview@lmsolas.com). The OJP Solicitation Feedback email account will not forward your résumé. **Note:** Neither you nor anyone else from your organization can be a peer reviewer in a competition in which you or your organization have submitted an application.

# Application Checklist

## FY 2016 Comprehensive School Safety Initiative

This application checklist has been created to assist in developing an application.

### What an Applicant Should Do:

#### *Prior to Registering in Grants.gov:*

\_\_\_\_\_ Acquire a DUNS Number (see page 31)

\_\_\_\_\_ Acquire or renew registration with SAM (see page 31)

#### *To Register with Grants.gov:*

\_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 31)

\_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 31)

#### *To Find Funding Opportunity:*

\_\_\_\_\_ Search for the funding opportunity on Grants.gov (see page 32)

\_\_\_\_\_ Download Funding Opportunity and Application Package (see page 32)

\_\_\_\_\_ Select the correct Competition ID (see page 32)

\_\_\_\_\_ Sign up for Grants.gov [email](#) notifications (optional) (see page 30)

\_\_\_\_\_ Read [Important Notice: Applying for Grants in Grants.gov](#)

\_\_\_\_\_ Read OJP policy and guidance on “conference” approval, planning, and reporting available at [ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](http://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm) (see page 19)

#### *After Application Submission, Receive Grants.gov Email Notifications That:*

\_\_\_\_\_ (1) application has been received

\_\_\_\_\_ (2) application has either been successfully validated or rejected with errors (see page 32)

#### *If no Grants.gov receipt, and validation or error notifications are received:*

\_\_\_\_\_ Please refer to the section: Experiencing Unforeseen Grants.gov Technical Issues (see page 32)

### General Requirements:

\_\_\_\_\_ Review the [Solicitation Requirements](#) in the OJP Funding Resource Center.

### What an Application Should Include:

\_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 20)

\_\_\_\_\_ Project Abstract (if applicable) (see page 20)

\_\_\_\_\_ Program Narrative (see page 21)

\_\_\_\_\_ Budget Detail Worksheet (see page 24)

\_\_\_\_\_ Budget Narrative (see page 24)

\_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 25)

\_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 26)

\_\_\_\_\_ Applicant Disclosure of High-Risk Status (see page 26)

\_\_\_\_\_ Additional Attachments

\_\_\_\_\_ Applicant Disclosure of Pending Applications (see page 27)

\_\_\_\_\_ Research and Evaluation Independence and Integrity (see page 28)

\_\_\_\_\_ Financial Management and System of Internal Controls Questionnaire (see page 29)

\_\_\_\_\_ [Disclosure of Lobbying Activities \(SF-LLL\)](#) (see page 29)

\_\_\_\_\_ Employee Compensation Waiver request and justification (if applicable) (see page 18)